

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Takeuchi et al

Group Art Unit: TBA

Serial No.: TBA (Div. of 09/934,947)

Examiner: TBA

Filed: Herewith (Parent filed August 22, 2001)

For: OPTICAL ELEMENT AND MANUFACTURING METHOD THEREFOR
INFORMATION DISCLOSURE STATEMENT

Mail Stop PATENT APPLICATION
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

This Information Disclosure Statement is filed in accordance with 37 C.F.R. §§1.56, 1.97 and 1.98. The items listed on Form PTO-1449, a copy of which is enclosed, are made of record to assist the Patent and Trademark Office in its examination of this application. The Examiner is respectfully requested to fully consider the items and to independently ascertain their teaching.

1. ☐ For each of the following items listed on the enclosed copy of Form PTO-1449 that is not in the English language, an English language translation of that item or a portion thereof or a concise explanation of the relevance of that item is enclosed:
2. ☐ For each of the following items listed on the enclosed copy of Form PTO-1449 that is not in the English language, a concise explanation of the relevance of that item is incorporated in the specification of the above-identified application.
3. ☒ Any copy of the items listed on the enclosed copy of Form PTO-1449 that is not enclosed with this Information Disclosure Statement was previously cited by or submitted to the Patent and Trademark Office in application Serial No. 09/934,947, filed August 22, 2001.
4. ☒ No fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with:
 - ☒ 37 C.F.R. §1.97(b)(1), within three months of the filing date of a national application other than a CPA; or

- ☐ 37 C.F.R. §1.97(b)(2), within three months of the date of entry into the national stage as set forth in §1.491 in an international application; or
- ☐ 37 C.F.R. §1.97(b)(3), before the mailing date of a first Office action on the merits; or
- ☐ 37 C.F.R. §1.97(b)(4) before the mailing date of a first office action after the filing of an RCE under §1.114.
5. ☐ No fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(c), after the period specified in paragraph 4 above but before the mailing date of a final action or a Notice of Allowance (where there has been no prior final action), and is accompanied by one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 9 below.
6. ☐ A fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(c), after the period specified in paragraph 4 above but before the mailing date of a final action or a notice of allowance (where there has been no prior final action):
- ☐ A check in the amount of \$180.00 is enclosed in payment of the fee.
- ☐ Charge the fee to Deposit Account No. 13-4500, Order No. _____. A
DUPLICATE COPY OF THIS SHEET IS ATTACHED.
7. ☐ A fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(d), after the mailing date of a final action or a notice of allowance, whichever comes first, but before payment of the issue fee, and is accompanied by:
- a. one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 9 below; and
- b. the fee due under 37 C.F.R. §1.17(p) which is paid as set forth in paragraph 11 below.
8. ☐ This Information Disclosure Statement is being filed in compliance with:
- a. ☐ 37 C.F.R. §1.313(b)(3) or §1.313(c)(1), after the issue fee has been paid and information cited in this Information Disclosure Statement may render at least one claim unpatentable and is accompanied by the attached Petition To Withdraw Application From Issue and fee pursuant to 37 C.F.R. §1.17(h);
- b. ☐ 37 C.F.R. §1.313(c)(2) or §1.313(c)(3), after the issue fee has been paid and information cited in this Information Disclosure Statement is to be considered in a Request for Continued Examination (RCE) or a Continuation application upon abandonment of the instant application and is accompanied by the attached Petition To Withdraw Application From Issue and fee pursuant to 37 C.F.R. §1.17(h).
- c. ☐ The fee due under 37 C.F.R. §1.17(h) is paid as set forth in paragraph 11

below.

9. ☐ I hereby certify that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.
- ☐ I hereby certify that no item of information in the Information Disclosure Statement filed herewith was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.
10. ☐ This document is accompanied by ☐ a Search Report ☐ Communication which was cited in a corresponding ☐ PCT or ☐ Foreign counterpart application
11. ☐ A check in the amount of \$ _____ is enclosed in payment of the fees due under 37 C.F.R. §§1.17(h) and 1.17(p).
- ☐ Charge the fees due under 37 C.F.R. §§1.17(h) and 1.17(p) to Deposit Account No. 13-4500, Order No. _____. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required for this Information Disclosure Statement, or credit any overpayment to Deposit Account No. 13-4500, Order No. 1232-4756US1. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Respectfully submitted,
MORGAN & FINNEGAN, L.L.P.

Dated: October 10, 2003

By: _____

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FORM PTO-1449 INFORMATION DISCLOSURE CITATION				Attorney Docket: 1232-4756US1		Serial No.: TBA	
				Applicant: Takeuchi et al			
				Filing Date: Herewith (October 7, 2003)		Group Art Unit: TBA	
U.S. PATENT DOCUMENTS							
Examiner Initial		Document Number	Date	Name	Class	Sub-Class	Filing Date
		6,201,634	03/2001	Sakuma, et al.			03/11/1999
		5,867,315	02/1999	Koike, et al.			07/30/1996
		4,215,288	07/1980	Kato, et al.			03/27/1978
		5,042,922	08/1991	Pepper			05/20/1986
		2,934,993	05/1960	Chromy	88		
		3,904,267	09/1975	de Veer			
		5,100,237	03/1992	Wittekoek et al.			
		6,518,210	02/2003	Jinbo et al.			
		6,538,822	03/2003	Schuster			
FOREIGN PATENT DOCUMENTS							
Examiner Initial		Document Number	Date	Country	Class	Sub-Class	Translation
		05-27200	02/1993	Japan			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
		2000-086394	03/2000	Japan			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
		2000-128696	05/2000	Japan			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
		11-326189	11/1999	Japan			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
		11-054411	02/1999	Japan			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
		2000-089450	03/2000	Japan			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
		2000-331927	11/2000	Japan			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
		0 942 297 A2	09/1999	Europe			<input type="checkbox"/> Yes <input type="checkbox"/> No
		0 942 297 A3	09/1999	Europe			<input type="checkbox"/> Yes <input type="checkbox"/> No
		01/02799	01/2001	WO			<input type="checkbox"/> Yes <input type="checkbox"/> No
OTHER DOCUMENTS (Including Author, Title, Date, etc.)							
Examiner				Date Considered			
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP §609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.							

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U.S. PATENT DOCUMENTS							
Examiner Initial		Document Number	Date	Name	Class	Sub- Class	Filing Date
		6,330,256	12/2001	Byren et al.			
		5,795,047	08/1998	Sannohe et al.			
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		2003/0067679	04/2003	Allan et al.			
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		2002/0149855	10/2002	Schuster			
		2003/0030917	02/2003	Omura			
		2003/0011893	01/2003	Shiraishi et al.			
FOREIGN PATENT DOCUMENTS							
Examiner Initial		Document Number	Date	Country	Class	Sub- Class	Translation
							<input type="checkbox"/> Yes <input type="checkbox"/> No
							<input type="checkbox"/> Yes <input type="checkbox"/> No
							<input type="checkbox"/> Yes <input type="checkbox"/> No
OTHER DOCUMENTS (Including Author, Title, Date, etc.)							
		English abstract for JP05-27200					
		English abstract for JP2000-86394					
		English abstract for JP2000-128696					
		English abstract for JP11-326189					
		English abstract for JP11-054411					
		English abstract for JP2000-089450					
		English abstract for JP2000-331927					
Examiner				Date Considered			
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP §609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.							